

A circular black ink stamp from the Office of Intellectual Property (OIP). The text "OIP" is at the top, "JUL 30 2001" is in the center, and "PATENT & TRADEMARK OFFICE" is at the bottom.

07/26/01

RICHARD K. CLARK

Signature

Our Case No. 9281-3943

Applicants deposited the above-identified application with the USPS "Express Mail" Service on April 12, 2001. In support, Applicants have enclosed copies of the following documents filed with the above-identified application:

- Patent Application Transmittal Letter;
- Title Page;
- Assignment Recordal;
- Submission of Certified Copy of Priority Document;
- Information Disclosure Statement; and
- Return Receipt Postcard.

These documents indicate April 12, 2001, is the date of deposit. These documents also show the number of the "Express Mail" label was placed on the filed papers.

In further support, Applicants also have enclosed copies of the following documents:

- Firm's "Express Mail Log" for April 12, 2001 (redacted copy);
- Firm's "Docket Entry" card; and
- USPS on-line "Shipment History" dated July 19, 2001.

These documents also indicate April 12, 2001, is the date of deposit.

For the foregoing reasons, Applicants respectfully request the Commissioner to accord the above-identified application a filing date of April 12, 2001. Applicants also request the issuance of a Corrected Filing Receipt (copy enclosed) for the above-identified application.

The Commissioner is hereby authorized to charge any fees required to Deposit Account No. 23-1925. A duplicate copy of this sheet is enclosed.

Respectfully submitted,



Richard K. Clark
Registration No. 40, 560
Attorney for Applicants

BRINKS HOFER GILSON & LIONE
P.O. BOX 10395
CHICAGO, ILLINOIS 60610
(312) 321-4200

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OFFICE OF PETITIONS



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PO ZIP Code 60611	Day of Delivery <input checked="" type="checkbox"/> Next <input type="checkbox"/> Second
Date In 04/10/01	<input type="checkbox"/> 12 Noon <input type="checkbox"/> 3 PM
Time In 1:00 PM	<input type="checkbox"/> Military <input type="checkbox"/> 2nd Day <input type="checkbox"/> 3rd Day
Weight 1.1 lbs.	Int'l Alpha Country Code
No Delivery <input type="checkbox"/> Weekend <input type="checkbox"/> Holiday	Acceptance Clerk Initials
	Flat Rate Envelope <input type="checkbox"/>
	Postage \$ 16.00
	Return Receipt Fee
	COD Fee Insurance Fee
	Total Postage & Fees \$ 16.00

CUSTOMER USE ONLY	
METHOD OF PAYMENT: Express Mail Corporate Acct. No.	<input type="checkbox"/> WAIVER OF SIGNATURE (Domestic Only): Additional merchandise insurance is void if waiver of signature is requested. I wish delivery to be made without obtaining signature of addressee or addressee's agent (if delivery employee judges that article can be left in secure location) and I authorize that delivery employee's signature constitutes valid proof of delivery.
Federal Agency Acct. No. or Postal Service Acct. No.	NO DELIVERY <input type="checkbox"/> Weekend <input type="checkbox"/> Holiday

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BRINKS HOFER GILSON & LIGNE
PO BOX 10395 IL 60610-0395
CHICAGO

TO: (PLEASE PRINT) PHONE
COMMISSIONER FOR PATENTS
BOX PATENT APPLICATION
WASHINGTON DC 20231-0001

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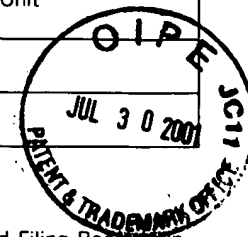
FOR PICKUP OR TRACKING CALL 1-800-222-1811

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Receipt

TRANSMITTAL LETTER			Case No. 9281/3943
Serial No. 09/834,085	Filing Date TBD	Examiner Not Assigned	Group Art Unit 2652
Inventor(s) Yashuhiro Nishiyama et al.			
Title of Invention Thin Film Magnetic Head Comprising SiON Film and Manufacturing Method Therefor			



TO THE COMMISSIONER FOR PATENTS

Transmitted herewith is Petition to Accord Application a Filing Date and Request for a Corrected Filing Receipt (in dup.), Return Receipt Postcard and copies of Express Mail Receipt, Patent Application Transmittal, Title Page, Assignment Recordal, Submission of Certified Copy of Priority Document, Information Disclosure Statement, Return Receipt Post Card, Express Mail Log, Docket Entry card, USPS Online Shipment History, and Corrected Filing Receipt.

- ☐ Small entity status of this application under 37 CFR § 1.27 has been established by verified statement previously submitted.
- ☐ A verified statement to establish small entity status under 37 CFR §§ 1.9 and 1.27 is enclosed.
- ☐ Petition for a _____ month extension of time.
- ☒ No additional fee is required.
- ☐ The fee has been calculated as shown below:

	Claims Remaining After Amendment		Highest No. Previously Paid For	Present Extra
Total		Minus		
Indep.		Minus		
First Presentation of Multiple Dep. Claim				

Small Entity

Rate	Add'l Fee
x \$9 =	
x 40 =	
+ \$135 =	
Total add'l fee	\$

or

Other Than Small Entity

Rate	Add'l Fee
x \$18 =	
x \$80 =	
+ \$270 =	
Total add'l fee	\$

- ☐ Please charge Deposit Account No. 23-1925 (BRINKS HOFER GILSON & LIONE) in the amount of \$_____. A duplicate copy of this sheet is enclosed.
- ☐ A check in the amount of \$_____ to cover the filing fee is enclosed.
- ☒ The Commissioner is hereby authorized to charge payment of any additional filing fees required under 37 CFR § 1.16 and any patent application processing fees under 37 CFR § 1.17 associated with this communication or credit any overpayment to Deposit Account No. 23-1925. A duplicate copy of this sheet is enclosed.
- ☒ I hereby petition under 37 CFR § 1.136(a) for any extension of time required to ensure that this paper is timely filed. Please charge any associated fees which have not otherwise been paid to Deposit Account No. 23-1925. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

Richard K. Clark

Richard K. Clark
Registration No. 40,560
Attorney for Applicant

BRINKS HOFER GILSON & LIONE
P.O. BOX 10395
CHICAGO, ILLINOIS 60610
(312) 321-4200

I certify this correspondence is being deposited with the United States Postal Service as first class mail, with sufficient postage, in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231, on 07/26/01.

Date: 07/26/01 Signature: *Richard K. Clark*

"Express Mail" mailing label number EL 677 509 309 US

Date of Deposit 9/11/01

Our File No. 9281-3943

Client Reference No. N US00069



PATENT APPLICATION TRANSMITTAL LETTER

To the Commissioner for Patents:

Transmitted herewith for filing is the patent application of Yoshihiro Nishiyama and Yasuo Hayakawa for Thin Film Magnetic Head Comprising SiON Film and Manufacturing Method Therefor.

Enclosed are:

- ☐ Preliminary Amendment
- ☒ 33 pages of application (including title page), 6 sheets of formal drawings and the following Appendices: n/a
- ☒ Declaration and Power of Attorney for Patent Application
- ☒ Assignment transmittal letter and Assignment of the invention to: Alps Electric Co., Ltd.
- ☒ Submission of Certified Copy of Priority Document and certified copy of Japanese Application No. 2000-111702
- ☒ Information Disclosure Statement, PTO-1449, and reference A1

Claims as Filed	Col. 1	Col. 2
For	No. Filed	No. Extra
Basic Fee		
Total Claims	20-20	0
Indep. Claims	6-3	3
Multiple Dependent Claims Present		

*If the difference in col. 1 is less than zero, enter "0" in col. 2.

Small Entity	
Rate	Fee
	\$ 355
x\$9=	\$
x\$40=	\$
+\$135=	\$
Total	\$

Other Than Small Entity	
Rate	Fee
	\$ 710
x\$18=	\$
x\$80=	\$240
+\$270=	\$
Total	\$950

- ☐ Please charge my Deposit Account No. 23-1925 in the amount of \$_____. A duplicate copy of this sheet is enclosed.
- ☒ A check in the amount of \$950 to cover the filing fee is enclosed.
- ☒ The Commissioner is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. 23-1925. A duplicate copy of this sheet is enclosed.
 - ☒ Any additional filing fees required under 37 CFR § 1.16.
 - ☒ Any patent application processing fees under 37 CFR § 1.17.
- ☐ The Commissioner is hereby authorized to charge payment of the following fees during the pendency of this application or credit any overpayment to Deposit Account No. 23-1925. A duplicate copy of this sheet is enclosed.
 - ☐ Any filing fees under 37 CFR § 1.16 for presentation of extra claims.
 - ☐ Any patent application processing fees under 37 CFR § 1.17.
 - ☐ The issue fee set in 37 CFR § 1.18 at or before mailing of the Notice of Allowance, pursuant to 37 CFR § 1.311(b).

Date

9/11/01

Gustavo Siller, Jr.
BRINKS HOFER GILSON & LIONE
Registration No. 32,305



Our File No. 9281-3943
Client Reference No. N US00069

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE
APPLICATION FOR UNITED STATES LETTERS PATENT

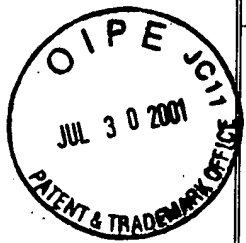
INVENTORS: Yoshihiro Nishiyama
Yasuo Hayakawa

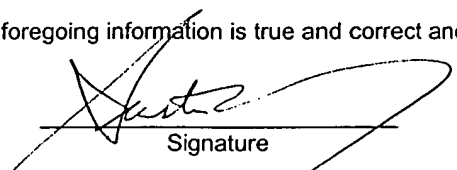
TITLE: Thin Film Magnetic Head
Comprising SiON Film and
Manufacturing Method Therefor

ATTORNEY: Gustavo Siller, Jr.
BRINKS HOFER GILSON & LIONE
P.O. BOX 10395
CHICAGO, ILLINOIS 60610
(312) 321-4200

EXPRESS MAIL NO. EL 677 509 309 US

DATE OF MAILING 4/12/01



PATENTS ONLY		Our File No. 9281-3943	
TO THE COMMISSIONER FOR PATENTS			
Please record the attached original document or copy thereof.			
1. Names of Parties conveying an interest: Yoshihiro Nishiyama Yasuo Hayakawa Additional name(s) of conveying party(ies) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		2. Name and Address of Party receiving an interest: Name: ALPS Electric Co., Ltd. Internal Address: Street Address: 1-7 Yukigaya, Otsuka-cho City: Ota-ku, Tokyo State/Zip: Japan Additional name(s) and addresses attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
3. Description of the interest conveyed: <input checked="" type="checkbox"/> Assignment <input type="checkbox"/> Change of Name Other: <input type="checkbox"/> Security Agreement <input type="checkbox"/> Merger Execution Date: <u>April 6, 2001</u> Application number(s) or patent number(s). Additional sheet attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If this document is being filed together with a new application, the execution date of the application is: <u>April 6, 2001</u> Date Patent Application No.(s) Patent No.(s) Additional numbers attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
5. Name and address of party to whom correspondence concerning document should be mailed: BRINKS HOFER GILSON & LIONE P.O. BOX 10395 CHICAGO, IL 60610 (312)321-4200		6. Number of applications and patents involved: <u>1</u> 7. Total fee (37 CFR 3.41) \$ <u>40</u> <input checked="" type="checkbox"/> Enclosed <input type="checkbox"/> Authorized to be charged to Deposit Account No. 23-1925 8. <input checked="" type="checkbox"/> Please charge any deficiencies in fee or credit any overpayment to Deposit Account No. 23-1925.	
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Statement and signature. To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document. Gustavo Siller, Jr., 32,305 Name of Person Signing  Signature 4/12/01 Date Total number of pages including cover sheet, attachments, and document: <u>3</u>			

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DATE OF DEPOSIT

4/12/01

Our File No. 9281-3943

Client Reference No. N US00069



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:)
Yoshihiro Nishiyama et al.)
Serial No. To Be Assigned)
Filing Date: Herewith)
For: Thin Film Magnetic Head)
Comprising SiON Film and)
Manufacturing Method Therefor)

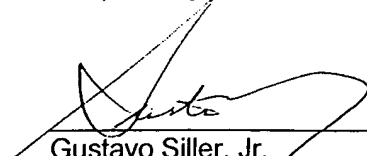
SUBMISSION OF CERTIFIED COPY OF PRIORITY DOCUMENT

Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

Transmitted herewith is a certified copy of priority document Japanese Patent Application No. 2000-111702, filed April 13, 2000 for the above-named U.S. application.

Respectfully submitted,



Gustavo Siller, Jr.
Registration No. 32,305
Attorney for Applicants

BRINKS HOFER GILSON & LIONE
P.O. BOX 10395
CHICAGO, ILLINOIS 60610
(312) 321-4200

"Express Mail" mailing label number EL 677 509 309 US

Date of Deposit 4/12/01

Our File No. 9281-3943
Client Reference No. N US00069



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:)
Yoshihiro Nishiyama et al.)
Serial No. To Be Assigned)
Filing Date: Herewith)
For: Thin Film Magnetic Head)
Comprising SiON Film and)
Manufacturing Method Therefor)

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

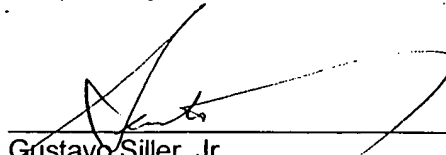
Pursuant to the obligation under 37 C.F.R. 1.56 and in conformance with 37 C.F.R. 1.97-1.99, Applicants hereby submit reference A1 listed on the attached form PTO-1449 for consideration by the Examiner. A copy of the reference is enclosed herewith

The filing of this Information Disclosure Statement does not constitute an admission that the information cited herein is, or is considered to be, material to patentability as defined in 37 C.F.R. Section 1.56(b). Further, Applicants reserve the right to contest this reference as prior art against the present application, and Applicants do not believe that the disclosure of this reference, even if finally determined to be prior art, anticipates Applicants' invention or that this reference makes Applicants' invention obvious.

No fees are believed to be due in connection with filing of this Information Disclosure Statement, however, should any fees under 37 C.F.R. §§ 1.16 to 1.21 be deemed necessary for any reason relating to this material, the Commissioner is hereby authorized to deduct said fees from Brinks Hofer Gilson & Lione Deposit Account No. 23-1925.

Applicants respectfully request that the Examiner review the entire disclosure of this document and make it of record.

Respectfully submitted,

A handwritten signature in black ink, appearing to read 'Gustavo Siller, Jr.', is written over a horizontal line.

Gustavo Siller, Jr.
Registration No. 32,305
Attorney for Applicants

BRINKS HOFER GILSON & LIONE
P.O. BOX 10395
CHICAGO, ILLINOIS 60610
(312) 321-4200



Case No. 9281-3943
Applicant: Yoshihiro Nishiyama et al.
Commissioner for Patents
Washington, D.C. 20231

Please acknowledge receipt of the below-identified:

Checks for \$950.00 and \$40.00; Transmittal Letter (in duplicate); Application (33 pages including title page); 6 sheets formal drawings; Declaration and Power of Attorney for Patent Application; Assignment Recordal; Assignment; Submission of Certified Copy of Priority Document; certified copy of Japanese Application No. 2000-111702; Information Disclosure Statement; PTO-1449; reference A1

BRINKS HOFER GILSON & LIONE

Gustavo Siller, Jr.

Dated:

4/11/01

BRINKS HOFER GILSON & LIONE

A PROFESSIONAL CORPORATION

By

Director
Washington

Please e

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Applicant: Yoshihiro Nishiyama et al.

Client Matter No. 9281-3943

Items Mailed:

Checks for \$950.00 and \$40.00; Transmittal Letter (in duplicate);
Application (33 pages including title page); 6 sheets formal drawings;
Declaration and Power of Attorney for Patent Application; Assignment
Recordal; Assignment; Submission of Certified Copy of Priority Document;
certified copy of Japanese Application No. 2000-111702; Information
Disclosure Statement; PTO-1449; reference A1

Date Due:

Date of Mailing 4/12/01

APPLICANT:

CLIENT/MATTER NO:

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- April 12 4:28 pm ENROUTE CHICAGO IL 60607

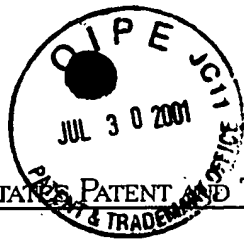
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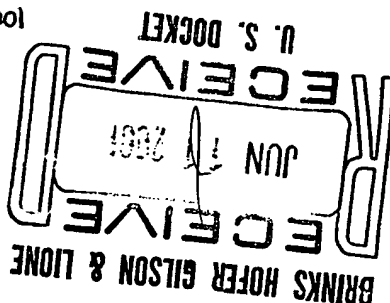


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WASHINGTON, D.C. 20231
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APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/834,085	04/11/2001 04/12/2001	2652	950	9281-3943	6	20	6

Brinks Hofer Gilson & Lione
P.O. Box 10395
Chicago, IL 60610



CONFIRMATION NO. 2759

FILING RECEIPT



OC00000006155466

Date Mailed: 06/06/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Yasuhiro Nishiyama, Niigata-ken, JAPAN;
Yasuo Hayakawa, Niigata-ken, JAPAN;

Assignment For Published Patent Application

Alps Electric Co., Ltd.;

Domestic Priority data as claimed by applicant

Foreign Applications

JAPAN 2000-111702 04/13/2000

If Required, Foreign Filing License Granted 06/06/2001

Projected Publication Date: 10/18/2001

Non-Publication Request: No

Early Publication Request: No

Title

Thin film magnetic head comprising SiON film and manufacturing method therefor